



Attorney Docket # 5250-7

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Robert R. Alfano et al.

Serial No.: 10/728,562

Filed: December 05, 2003

For: Photodetectors and Optically Pumped Emitters  
Based on III-Nitride Multiple-Quantum-Well  
Structures

I hereby certify that this correspondence is being deposited  
with the United States Postal Service with sufficient postage as  
first class mail in an envelope addressed to: Commissioner for  
Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on  
February 13, 2004  
(Date of Deposit)

Kent H. Cheng

Name of applicant, assignee or Registered Representative

Signature

February 13, 2004  
Date of Signature

Mail Stop **Missing Parts**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUBMISSION OF DECLARATION AND ASSIGNMENT

SIR:

In order to complete the filing of the above-identified application, applicant(s) submit(s) herewith the following:

- ☒ Executed Declaration and Power of Attorney (attached to a copy of the application as originally filed). The application filed in the U.S. Patent and Trademark Office is the application which the inventor(s) executed by signing the enclosed Declaration.
- ☒ Check in the amount of \$65.00 to cover the late filing of the Declaration and Power of Attorney, as required by 37 CFR 1.16(e).
- ☒ Small Entity Status is claimed
- ☐ Letter transmitting Priority Document
- ☐ Priority Documents No(s). 60/430,971, , , , ,
- ☒ Assignment of the invention to **Research Foundation of the City University of New York**
- ☒ Recordation cover sheet - PTO Form 1595
- ☒ Check in the amount of \$40.00 to cover the recordation fee
- ☐ Verified English translation

- ☐ Check in the amount of \$130 to cover the fee for late submission of English translation, as required under 37 CFR 1.17(k)
- ☐ Copy of Notice to File Missing Parts of Nonprovisional Application

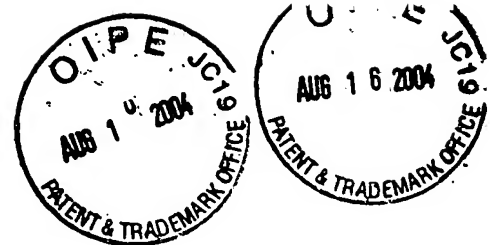
If an extension of time to respond to this Notice To File Missing Parts of Application is required, then this paper also constitutes an express request for such an extension of time.

In the event that any additional fees or charges are deemed necessary in connection with the application at the present time, the same may be charged to our Patent and Trademark Office Deposit Account No. 03-2412.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By:   
Kent H. Cheng, Reg. No. 33,849  
551 Fifth Avenue  
New York, New York 10176  
(212) 687-2770

Dated: 13 February 2004



## DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

### **Photodetectors and Optically Pumped Emitters Based on III-Nitride Multiple-Quantum-Well Structures**

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to in this oath or declaration.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 (a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate or §365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

none

I hereby claim the benefit under 35 USC §119(e) of any United States provisional application listed below:

**Application(s): No. 60/430,971**

**Filed: December 05, 2002**

I hereby claim the benefit under Title 35, United States Code, §120 or §365(c) of any PCT International application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

none

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

MYRON COHEN, Reg. No. 17,358; THOMAS C. PONTANI, Reg. No. 29,763; LANCE J. LIEBERMAN, Reg. No. 28,437; MARTIN B. PAVANE, Reg. No. 28,337; THOMAS LANGER, Reg. No. 27, 264; MICHAEL C. STUART, Reg. No. 35,698; EDWARD WEISZ, Reg. No. 37,257; VINCENT M. FAZZARI, Reg. No. 26,879; JULIA S. KIM, Reg. No. 36,567; ALFRED FROEBRICH, Reg. No. 38,887; ALFRED H. HEMINGWAY, Jr., Reg. No. 26,736; KENT H. CHENG, Reg. No. 33,849; YUNLING REN, Reg. No. 47,019; ROGER S. THOMPSON, Reg. No. 29,594; F. BRICE FALLER, Reg. No. 29,532; TEODOR J. HOLMBERG, Reg. No. 50,140.

Address all telephone calls to Kent H. Cheng, Esq. at telephone No. (212) 687-2770.

Address all correspondence to:

Kent H. Cheng, Esq.

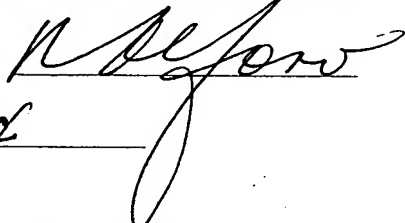
Cohen, Pontani, Lieberman & Pavane

551 Fifth Avenue, Suite 1210

New York, New York 10176

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Full Name of Sole or First Inventor: Robert R. Alfano**

Inventor's signature: 

Dated: 1/5/07

Month/Day/Year

Residence:

3777 Independence Avenue  
Bronx, NY 10463

Citizenship:

US

Post Office Address:

3777 Independence Avenue  
Bronx, NY 10463

Full Name of Second Joint Inventor: Shengkun ZHANG

Inventor's signature:

Shengkun Zhang

Dated:

01/05/04  
Month/Day/Year

Residence: 1822 Putnam Ave., #2L  
Ridgewood, NY 11385

Citizenship: China

Post Office Address: 1822 Putnam Ave., #2L  
Ridgewood, NY 11385

Full Name of Third Joint Inventor: Wubao WANG

Inventor's signature:

Wubao Wang

Dated:

01/05/2004  
Month/Day/Year

Residence: 138-10 Franklin Avenue, Apt. 5B  
Flushing, NY 11355

Citizenship: US

Post Office Address: 138-10 Franklin Avenue, Apt. 5B  
Flushing, NY 11355

RECORDATION FORM COVER SHEET  
**PATENTS ONLY**

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Attorney Docket 5250- 7

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Robert R. Alfano  
Shengkun ZHANG  
Wubao WANG



Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: January 5, 2004

2. Name and address of receiving party(ies):

Name: Research Foundation of the City University of New York

Internal Address:

Street Address: 555 West 57th Street, 11th Floor

City: New York

State/Country: USA

Zip: 10019

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)  
10/728,562

B. Patent No.(s)  
n/a

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kent H. Cheng

Internal Address: Cohen, Pontani, Lieberman & Pavane

Street Address: 551 Fifth Avenue, 12th Floor

City: New York State: New York Zip: 10176

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$40.00

- ☒ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit account number: 03-2412

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Kent H. Cheng  
Name of Person Signing  
Reg. No. 33,849

Signature

February 13, 2004  
Date

Total number of pages including cover sheet, attachments, and document:

4

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation  
Director of the US Patent and Trademark Office  
PO Box 1450  
Alexandria, VA 22313-1450

## ASSIGNMENT

In consideration of One Dollar (\$1.00), and other good and valuable consideration, the receipt of which is hereby acknowledged, We I the undersigned, **Robert R. ALFANO, Shengkun ZHANG, Wubao WANG** (hereinafter referred to as "ASSIGNOR"):

Hereby sell, assign and transfer to Research Foundation of the City University of New York (hereinafter referred to as "ASSIGNEE"), a non-profit scientific institution of New York, located at 555 West 57th Street, 11th Floor, New York, NY 10019, its successors, assigns and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent, which has been executed by the undersigned concurrently herewith or which has been filed on and been accorded Application Serial No. , and is entitled

**PHOTODETECTORS AND OPTICALLY PUMPED EMITTERS BASED ON III-NITRIDE  
MULTIPLE-QUANTUM-WELL STRUCTURES**

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements;

Agree that said Assignee may apply for and receive Letters Patent for said improvements in its own name, and that, when requested, without charge to but at the expense of said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers, communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which

said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date:

1/5/04  
Month/Day/Year

  
Robert R. ALFANO

State of

New York

)

)ss.

County of

New York

)

Before me this 5 day of January, 2004, personally appeared Robert R. ALFANO to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he executed the same of his own free will for the purpose therein set forth.

**MASADA DISENHOUSE**  
NOTARY PUBLIC, State of New York  
#01D15058475 Qualified in Kings County  
Commission Expires April 8, 2006

  
Notary Public

Date:

01/05/2004  
Month/Day/Year

  
Shengkun ZHANG

State of

New York

)

)ss.

County of

New York

)

Before me this 5 day of January, 2004, personally appeared Shengkun ZHANG to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he executed the same of his own free will for the purpose therein set forth.

  
Notary Public

**MASADA DISENHOUSE**  
NOTARY PUBLIC, State of New York  
#01D15058475 Qualified in Kings County  
Commission Expires April 8, 2006



Date: 01/05/2004  
Month/Day/Year

Wubao Wang  
Wubao WANG

State of New York

County of New York

)  
)ss.  
)

Before me this 5 day of January, 2004, personally appeared **Wubao WANG** to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he executed the same of his own free will for the purpose therein set forth.

Masada Disenhouse  
Notary Public

**MASADA DISENHOUSE**  
NOTARY PUBLIC, State of New York  
#01D15058475 Qualified in Kings County  
Commission Expires April 8, 2000